



SCOPE OF WORK (SOW) I

FOR ARIZONA DEPARTMENT OF ADMINISTRATION (ADOA) RISK MANAGEMENT DIVISION

VOCATIONAL ASSESSMENT SERVICES EPS070003

1. PURPOSE

- 1.1 The purpose of this solicitation is to purchase vocational assessment services for the Arizona Department of Administration (ADOA). Use of the resultant contract by other State agencies may be allowed. However, permission must be obtained from the Arizona Department of Administration, Enterprise Procurement Services Division prior to use of the resultant contract by any State agency.
- 1.2 Services included in vocational assessment services include:
 - A. Vocational Evaluation
 - B. Job Analysis
 - C. Labor Market Research
 - D. Job Placement
 - E. On-the-job Training
 - F. Testing
- 1.2 The Contractor shall have the capability of providing any one or the full range of vocational assessment services to injured workers referred by the State Agency.
- 1.3 Services should be provided to all authorized state agencies, boards and commissions within the State of Arizona (hereinafter referred to as the "Agency"). This contract shall be on an "as needed, if needed" basis. The State of Arizona does not guarantee any amount of work during the term of the contract.
- 1.4 The intent of the State is to award contract(s) that will ensure the coverage of the various needs of the using agencies at any location throughout the State of Arizona.

2. SERVICE DESCRIPTION

- 2.1 Taxonomy Definition – A service that seeks to identify, analyze and evaluate, through subjective and objective instruments, an individual's employability and earning capacity, employment/vocational skills, interests and potential success in a particular field or job.
- 2.2 Service Eligibility Criteria
 - 2.2.1 Eligibility is determined by the State Agency. The Contractor shall accept cases for services only upon receipt of a written referral from the State Agency.
- 2.3 Definitions
 - 2.3.1 Business Day – is Monday through Friday excluding State holidays.
 - 2.3.2 Injured worker – the individual referred by the State Agency to receive the service.

3. BACKGROUND INFORMATION

- 3.1 The State of Arizona consists of approximately one hundred thirty four (134) agencies with over sixty thousand (60,000) employees. A majority of these employees are located in Maricopa and Pima Counties. The appropriate utilization of vocational assessment services can effectively contain the payment of temporary or permanent disability compensation benefits through efforts to return injured workers back to



gainful employment. Provision of these services require a through knowledge of and experience in Worker's Compensation claims including experience in testifying before the Industrial Commission.

3.2 The number of claims received by DOA Risk Management varies from month-to-month. There are approximately four thousand (4,000) worker's compensation claims filed in a year. Approximately one thousand five hundred (1,500) claims involve time lost from work each year. There are an estimated two thousand six hundred (2,600) open claims at this time and approximately 27% of the open claims are in an unscheduled disability status. This figure may not include no Loss of Earning Capacity awards or services required for temporary partial disability.

3.3 The State of Arizona reserves the right to award multiple contracts to help the State Agency to ensure that adequate services are available on a statewide basis to meet the needs of all State employees.

4. SERVICE REQUIREMENTS

4.1 General Requirements: The following General Requirements shall be provided by the Contractor when providing the Vocational Assessment Services to any State Agency purchasing the service. The Contractor shall:

4.1.1 Have the appropriate experience, expertise, and licensure required to provide a full range of Vocational Assessment Services, for the State Agency in accordance with the requirements set forth herein.

4.1.1.1 In the performance of services set forth herein, the Contractor shall expressly understand and agree that a contract exists between the Contractor and Enterprise Procurement Services upon acceptance and approval of the proposal offer as set forth on SPO Form 203. Additionally, the Contractor understands and agrees that the contract shall be performed on behalf of the State Agency, which shall be responsible for the coordination of all referrals and the administration of the contract.

4.1.1.2 Key personnel who are assigned by the contractor to provide vocational assessment services under this contract shall possess a current license as a Certified Rehabilitation Counselor (C.R.C.) and have documented experience in the field of vocational rehabilitation including coordination of retraining plans approved by the Industrial Commission Special Fund and experience with testifying before the Industrial Commission of Arizona. A C.R.C. shall perform any task associated with specific requirements unless stated otherwise here in.

4.1.1.3 In accordance with the requirements stated herein, the Contractor may utilize key personnel who have not yet received their certification when:

4.1.1.3.1 These individuals are used on a limited basis and assigned those tasks that would be considered preliminary or less technical in nature. All work performed by these individuals is under the direction and supervision of a key personnel member who is currently certified in one (1) or more of the areas as specified herein. All documentation completed by any of the key personnel who have not yet received their certification must reflect the co-signature of the supervisor as evidence of direction and supervision provided over the work performed.

4.1.1.4 The Contractor shall have the capability of providing any one or the full range of vocational assessment services to those individuals referred by the State Agency. These services shall include, but are not limited to the following: vocational evaluation, job analysis, labor market research, job placement, on-the-job training, testing, and retraining.



4.1.1.5 The Contractor must receive prior approval to exceed the state maximum hours as indicated on the Vocational Assessment Services timelines.

4.1.2 Adhere to the confidentiality requirements of the referring State Agency Other than the reports and information relayed to the referring State Agency, the Contractor shall not publish, reproduce or otherwise divulge such information, including opinions, finding, or recommendations, in whole or in part, in any manner or form, nor authorized or permit others to do so unless authorized by the State Agency.. The Contractor shall restrict access to the information, while in the Contractor's possession, to those employees and the Contractor's staff who must have the information on a "need to know" basis. The Contractor shall notify within one (1) business day of the incidence, the referring State Agency in writing, if the Contractor determines, or has reason to suspect, a breach of these requirements.

4.1.3 Secure his/her own transportation for necessary travel to the work site. When requested in writing by the referring State Agency to perform work that requires overnight accommodations, the State Agency will reimburse the Contractor in accordance with the current rates specified in the Rules and Regulations applicable to State Employee's travel. Travel expenses incurred when an assignment location is overnight are reimbursable in accordance with the Arizona Department of Administration (ADOA) Accounting Manual, Section IT-D. As public business, these expenses shall be relative to the services provided and shall be reasonable and necessary. The travel rates and policy may be reviewed on web at <http://www.gao.state.az.us/travel/>.

4.1.4 Establish and maintain a case file for injured workers referred by the State Agency for this service. The Contractor shall retain the case file which shall include documentation of all contacts, services provided and progress of the injured worker. In all cases, the Contractor and all subcontractors shall document all contact with the injured worker to include the final disposition of the case. All contacts/attempted contacts shall be documented in the case file maintained by the Contractor. The Contractor is responsible for ensuring that all case files contain at a minimum, the following required information:

1. Initial referral documents from the State Agency,
2. All evaluation and progress reports of the injured worker, all notes created by the Contractor,
3. All monthly reports and invoices, time log of services provided by the Contractor, and
4. Final disposition report.

The Contractor shall keep the information related to all claims in strict confidence. Other than reports and information relayed to the Agency, the Contractor shall not publish, reproduce or otherwise divulge such information, including opinions, findings, or recommendations, in whole or in part, in any manner or form, nor authorized or permit others to do so. The Contractor shall take reasonable measures as are necessary to restrict access to the information, while in the Contractor's possession, to those employees and the Contractor's staff who must have the information on a "need to know" basis. The Contractor agrees to immediately notify, in writing, the State Agency, in the event the Contractor determines, or has reason to suspect, a breach of these requirements.

The Contractor shall retain the case file for a period of five (5) years after termination of the contract or five (5) years after termination of service to the injured worker, whichever is later. The Contractor shall shred the case file as the means of disposing the record after approval is obtained from State Agency. Upon request from State Agency, the Contractor shall provide the original case file to the



State Agency within forty-eight (48) hours of the request. The Contractor shall make a duplicate copy of the file requested by State Agency for their records.

- 4.1.5 Provide Vocational Assessment Services to individuals who have been referred by the State Agency. The following components comprise Vocational Assessment Services:

4.1.5.1 **Vocational Evaluation -**

- Review all material furnished by the State regarding the assigned injured worker;
- Schedule an appointment with injured worker within five (5) business days of a referral by the State Agency.

The injured worker interview should provide pertinent information that will permit the Contractor to arrive at recommendations that can be made to the State Agency including the following:

- The injured worker's medical history that includes prior accidents or injuries, health problems, and medications.
- The injured worker's medical history of pre-existing conditions that may qualify the claim for apportionment including any of the identified conditions under A.R.S. §23-1065. If the potential for apportionment is identified, the contractor shall research any other requirements for such relief.
- The injured worker's educational background including both type and level of education and/or training, previous employment, transferable skills, military service, voluntary work, special hobbies and/or interests.
- The injured worker's physical and/or psychological limitations as well as pre-existing limitations impacting employability.
- The injured worker's family, financial and geographical status and identity special circumstances that currently or potentially affect that status both short and long-term.
- Identify any vocational goals or areas of interest the injured worker may have then determine if limited vocational testing would be appropriate to recommend.
- Identify criminal history which could affect the injured worker's employability.

Upon review of the information obtained, contact claims adjuster via telephone prior to submitting a brief initial evaluation to Risk Management that includes any pertinent recommendations.

Contractor's recommendations should be made via email and hard copy within thirty (30) days of the assignment, unless otherwise approved by the State Agency.

4.1.5.2 **Job Analysis -**

Perform an on-site Job Analysis by a Certified Rehabilitation Counselor with input from both the injured worker and his/her agency including the following:

- Determine the specific job duties and essential functions required of the injured worker in this position.



Determine if the work activities are compatible with the injured worker abilities.

List any activities that the injured worker or employer identify as potential problem areas based on the injured worker's current capabilities.

- Videotape the injured worker or another employee performing the injured worker's job at the injured worker's specific site.
- Submit the completed job analysis to the injured worker's attending physician for review and comments when relevant
- Submit a copy of the completed job analysis to the State Agency within thirty (30) days.

4.1.5.3 Labor Market Research -

Taking into consideration the injured worker's physical restrictions, skills, past employment, education, criminal history, geographical location, English-speaking abilities, etc., the Contractor will analyze appropriate labor markets and determine the injured worker's employability finding reasonable suitable and available jobs.

- 4.1.5.3.1 Contact the employers to determine the status of job availability and the corresponding qualifications and requirements.
- 4.1.5.3.2 Report findings verbally within thirty (30) days of assignment of completing the Labor Market Survey or receipt of the referral to DOA Risk Management Claims Adjuster prior to submitting the initial written report.
- 4.1.5.3.3 Develop and submit via email when possible a written report to the State Agency that details facts, findings and conclusions drawn from the completed survey.
- 4.1.5.3.4 Written reports should reflect wages current and rolled back.
- 4.1.5.3.5 Attend depositions and conferences as requested by the adjuster and/or defense attorney representing the State.
- 4.1.5.3.6 Provide testimony in legal proceedings as to the findings upon the analysis.

4.1.5.4 Job Placement –

- Contact the injured worker's previous employer to determine if there is a different position available for which the injured worker may receive consideration based upon the minimum requirements for the position. If the position requirements are in keeping with the injured worker's physical limitations, determine the method and time frame within which the injured worker may return to work.

If the previous employer does not have an acceptable position available, further efforts shall be made by contacting the Human Resource staff within the injured worker's agency or working with the State Personnel Office to locate additional employment opportunities within the State personnel system, utilizing the injured worker's capabilities and transferable skills.

- If the above efforts fail, further effort shall be made outside the Agency's personnel to locate additional employment opportunities with other potential employers.
 1. Direct Job Placement activities are implemented by instructing the injured worker on job seeking skills, resume preparation, obtaining job leads, and how to participate in an interview.



2. Job leads and interviews are provided by the Job Developer.
3. Job-shadowing services shall be offered in the first two weeks to ensure proper accommodations have been provided and that the job is suitable for the injured worker.

4.1.5.5 On-The-Job-Training –

- Contact employers that have indicated an interest in providing on-the-job-training in order to locate a training opportunity for the injured worker.
- Obtain from the employer providing on-the-job-training a compliance form that lists the workers compensation carrier, policy number, dates, and an agreement to comply with all safety and health regulations and Department of Labor wage requirements.
- Submit a copy of the On-The-Job-Training Plan to the referring State Agency for approval.
- On-The-Job-Training Plan should be submitted for approval by the Industrial Commission Special Fund for underwriting of a portion of wages.

4.1.5.6 Testing –

Appropriate testing and/or evaluation may be recommended to the State Agency for review and approval. Based upon the information obtained from the injured worker and the injured worker's file, determine the following as it relates to vocational testing or physical capacities evaluation:

- 4.1.5.6.1 When testing is recommended, submit a report to the State Agency, that identifies the specific vocational testing appropriate to the injured worker and upon approval, take the following action:
 - a.. Schedule testing and ensure that all approved tests are ministered by a qualified technician and that both the interpretation and reporting of the test results are performed by personnel who are either a Certified Vocational Evaluator (C.V.E.) or have a Master's Degree in Rehabilitation with a major in vocational evaluation.
 - b. Submit a report that contains the results of all testing performed and submit an invoice for the vocational testing directly to the State Agency within fourteen (14) days of authorization for such tasks, unless otherwise authorized by State Agency.
- 4.1.5.6.2 If it is determined that a physical capacities evaluation is appropriate for the injured worker, the Contractor shall perform the following tasks:
 - A.. Submit a letter and questionnaire to, or if authorized, meet in person with the physician for completion of the physical capacities evaluation.
 - B. If appropriate, schedule formal physical capacities testing for the injured worker.
 - c. Submit a copy of the completed physical capacities evaluation to the State Agency.

4.1.5.7 Retraining – In the instances where On-the-Job-Training is either not available or determined not to be feasible, the availability and appropriateness of retraining shall be explored.

- 4.1.5.7.1 Information shall be gathered from schools, vocational training facilities, or other similar institutions with regard to the type of programs offered, entrance requirements, enrollment dates, and the tuition. A labor market survey shall be performed to evaluate



the suitability and availability of the proposed vocation in the applicable labor market(s). This information shall be reviewed and compared with the injured worker's physical capabilities and other test results in order to determine which retraining is most appropriate. Any facility recommended (or utilized) to provide retraining must have no ties, directly or indirectly, with the Contractor.

- 4.1.5.7.2 A Retraining Plan shall be developed for the injured worker and submitted to the State Agency for consideration based on the following authorities:
- If the plan consists of retraining of 6 months or less, authorization can be obtained through the Claims Adjuster and the Disability Management Specialist.
 - If the plan consists of retraining for up to one (1) year, the plan must be approved by the Claims Adjuster, Disability Management Specialist and Claims Supervisor.
 - If the plan consists of one (1) – two (2) years, it must be approved by the Claims Adjuster, Disability Management Specialist, Claims Supervisor and Deputy Risk Manager.

The plan must specify the date prepared, type of retraining and recommended facility for the injured worker, any additional training/education (such as ESL or GED), and the cost to-date for counseling.

- 4.1.5.7.3 A Retraining Plan shall be presented by the Contractor for authorization during a scheduled staffing.
- 4.1.5.7.4 The plan must be submitted and approved by the Industrial Commission's Special Fund for underwriting of all tuition, books and other supplies.
- 4.1.5.7.5 The Contractor shall report to the State Agency monthly with updated contact information from both the educational institution and the injured worker with regard to performance.
- 4.1.5.7.6 At the conclusion of either on-the-job-training or retraining, job placement services are to be provided to the injured worker and Job Placement achieved within a maximum of thirty (30) days of notification by the injured worker or State Agency unless otherwise approved by the State Agency
- 4.1.5.7.7 Assist the injured worker in preparing resumes, by conducting mock interviews and provide the injured worker with a list of available job openings
- 4.1.5.7.8 Follow-up Services shall commence within thirty (30) days of job placement to assist the injured worker's adjustment.
- 4.1.5.7.9 Report to the State Agency in writing the details the current status of the placement with emphasis on any job site modifications required or equipment purchases required for the injured worker to remain on the job. If there are other anticipated on the job obstacles that may be faced in the near future, these too should be noted.

5. REPORTING REQUIREMENTS:

5.1 The Contractor shall submit the following reports:

- 5.1.1 Monthly reports. Submitted via email if possible to the appropriate adjuster which contain the progress, findings and activities of the current month as well as the goals for the next reporting period.



5.1.2 Annual Report –shall be submitted to the referring State Agency within forty five (45) days after the end of each contract term. The Annual Report shall include but is not limited to the following information:

5.1.2.1 The total number of referrals received that year;

5.1.2.2 The status of each referral (i.e, closed, in counseling, in training, training completed, training completed/working, quit school, or other).

5.2 Financial Reports:

5.2.1 Monthly Invoice - shall be submitted to the referring State Agency with the Monthly Progress Report by the 15th day of the following month services were provided. The Monthly Invoice shall include the following:

1. Service Month;
2. Contractor's Name;
3. Address;
4. FEI Number;
5. Contract Number;
6. Contact Person and Phone Number;
7. Rate;
8. Number of Units of Service Provided;
9. Total Amount Due; and
10. Signed by the person authorized to sign invoices for the Contractor and dated

5.2.2 Travel will be paid separately in accordance with State regulations/rates.

5.3 Vocational Assessment Services Timelines:

The contractor shall not exceed the timelines specified herein unless prior authorization for the specified deviation is properly obtained from the State agency. Approval of any such request is to be documented in a manner that is acceptable to the State agency. Failure to meet these requirements may result in a reduction of the fee payable to the contractor.

VOCATIONAL SERVICES	MAXIMUM HOURS
Receipt of referral and file review	1.0
Initial face-to-face evaluation of the injured worker	2.0
Agency/jobsite visit	1.0
Job Analysis This analysis is conducted on-site and results in a written report.	2.0
Initial Report (one-time fee)	1.0
Progress Report	.5
Vocational Counseling: Per Session Prior authorization must be obtained for any additional counseling sessions in excess of one month; purpose and goal of counseling must be documented in the monthly report.	.5
Vocational Evaluation/Testing Estimated number of hours must be provided when obtaining prior authorization; time for administration, testing, scoring, and reporting are to be included.	5.0
Labor Market Survey	3.0
Job Seeking Skills Training Resume preparation and interview techniques are included.	1.0
Job Search/Development/Placement	2.0



Travel Time	
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Time attributed to these activities are to be billed at the hourly rate specified on the pricing schedule for travel time.	
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SCOPE OF WORK (SOW) II
FOR
INDUSTRIAL COMMISSION OF ARIZONA (ICA)
SPECIAL FUND
VOCATIONAL ASSESSMENT SERVICES
EPS070003

1.0 PURPOSE

- 1.1 The purpose of this solicitation is to purchase vocational assessment services for the Industrial Commission of Arizona (ICA), Special Fund. Use of the resultant contract by other State agencies may be allowed. However, permission must be obtained from the Arizona Department of Administration (ADOA), Enterprise Procurement Services Division (EPS) prior to use of the resultant contract by any State agency.
- 1.2 The appropriate utilization of vocational rehabilitation services can effectively reduce the payment of Worker's Compensation benefits through the reduction of Permanent or Temporary Compensation payments.
- 1.3 The contract shall be performed on behalf of the State Agency, which shall be responsible for the coordination of all referrals and the administration of the contract.
- 1.4 The intent of the State is to award contract(s) that will ensure the coverage of the various needs of the using agencies at any location throughout the State of Arizona.

2.0 SERVICE DESCRIPTION

- 2.1 Vocational Assessment – A service that seeks to identify, analyze and evaluate, through subjective and objective instruments, an individual's employment/vocational skills, interests and potential success in a particular field or job.
- 2.2 Eligibility Criteria
 - 2.2.1 Eligibility is determined by the State Agency. The Contractor shall accept cases for services only upon receipt of a written referral from the State Agency.
- 2.3 Case Records
 - 2.3.1 The Contractor shall establish and maintain a case file for clients referred by the State Agency for this service. The Contractor shall retain the case file which shall include documentation of all contacts, services provided and progress of the client. In all cases, the Contractor and all subcontractors shall document all contact with the client to include the final disposition of the case. All contacts/attempted contacts shall be documented in the case file maintained by the Contractor. The Contractor is responsible for ensuring that all case files contain at a minimum, the following required information: initial referral documents from the State Agency, all evaluation and progress reports of the client, all notes created by the Contractor, all monthly reports and invoices, time log of services provided by the Contractor, and a final disposition report.
 - 2.3.2 The Contractor shall retain the case file for a period of five (5) years after termination of the contract or five (5) years after termination of service to the client, whichever is later. The Contractor shall shred the case file as the means of disposing the record after approval is obtained from State Agency. Upon request from State Agency, the Contractor shall provide the



original case file to the State Agency within forty-eight (48) hours of the request. The Contractor shall make a duplicate copy of the file requested by State Agency for their records.

3.0 PROGRAM INFORMATION

- 3.1 Provision of these services requires a thorough knowledge of and experience in Worker's Compensation claims including experience in testifying before the Industrial Commission.
- 3.2 Background Information for the Industrial Commission of Arizona, Special Fund
 - 3.2.1 The Special Fund is a trust fund established to provide worker's compensation for injured employees that are not covered by self insurance or private insurance. The five main areas of coverage for which the Special Fund is responsible are:
 - 1. Supportive Care – ensuring benefits are paid to employees injured prior to August 8, 1973 for medical care necessary to maintain the employee's condition at a stationary level or provide care if the carriers benefits have been exhausted.
 - 2. Apportionment of Second Injury – providing compensation in payment of permanent awards when an employee has a non-industrial, pre-existing medical condition and suffers an industrially related injury or when an employee has had a scheduled injury and suffers a second scheduled injury. Additionally, the Special Fund must provide up to 50% of the amount of compensation of loss of earning capacity for injured employees.
 - 3. Uninsured Claimants/Employers – providing benefits for injured employees whose employer did not obtain worker's compensation insurance coverage or were not self insured.
 - 4. Insolvent Carriers/self Insurers – reimbursing SCF of Arizona for benefits paid to injured claimants of insolvent carriers/self insurers.
 - 5. Vocational Rehabilitation – providing for the rehabilitation of persons disabled by an industrial injury/disease.
 - 3.2.2 The Special Fund provides rehabilitation services on an as needed, if needed, statewide basis with moneys derived from annual assessment of up to one and one half (1½ %) percent of all premiums received by SCF of Arizona and private insurance carriers writing worker's compensation policies in the State as well as self-insurers.
 - 3.2.3 Currently, approximately 450 claimants are receiving Rehabilitation Services under existing Special Fund contracts. The number of claimants receiving services varies from month to month. As claimants are rehabilitated and return to the work place, others are added.

4.0 SERVICE REQUIREMENTS

- 4.1 Specific Requirements for the Industrial Commission of Arizona, Special Fund
 - 4.1.1 The Contractor shall have the capability and requisite experience and expertise to provide full vocational rehabilitation services for the State Agency in accordance with the requirements set forth herein.
 - 1. Have at least one (1) staff individual who is fluent in writing and speaking Spanish to act as an interpreter, if required.
 - 2. Hire key personnel who is either a Certified Rehabilitation Counselor (C.R.C.) or Certified Disability Management Specialist (C.D.M.S.) with documented experience as a rehabilitation counselor. Counselor personnel who do not meet the requirements, yet are providing services under this contract, shall be supervised by an individual meeting the required certification.



- 4.2 General Requirements - The Contractor shall:
- 4.2.1 Have the appropriate experience, expertise, and licensure required to provide a full range of vocational rehabilitation services for the State Agency in accordance with the requirements set forth herein.
- 4.2.2 Maintain the information related to all claims in strict confidence. Other than the reports and information relayed to the Agency, the Contractor shall not publish, reproduce or otherwise divulge such information, including opinions, findings, or recommendations, in whole or in part, in any manner or form, nor authorize or permit others to do so. The Contractor shall take reasonable measures as are necessary to restrict access to the information, while in the contractor's possession, to those employees and the contractor's staff who must have the information on a "need to know" basis. The Contractor agrees to immediately notify, in writing, the State Agency, in the event the contractor determines, or has reason to suspect, a breach of these requirements.
- 4.3 Provide full vocational rehabilitation services to individuals who have been referred by the State Agency. The following components comprise vocational rehabilitation services:
- 4.3.1 Case Evaluation - Provide Case Evaluation Service as follows:
1. Review all material regarding the assigned claimant, as furnished by the State Agency .
 2. Schedule an appointment with claimant within seven (7) working days of referral by the State Agency.
- 4.3.2 Client Interview - Interview the claimant, obtaining the following information and provide recommendations to the State Agency, as necessary. The Contractor shall:
1. Obtain client's medical history including prior accidents or injuries, health problems, medications, and surgeries.
 2. Describe client's educational background (including college and vocational training), previous employment, transferable skills, military services, voluntary work, special hobbies and/or interests.
 3. Describe client's physical limitations and the degree of limitation per area identified.
 4. Determine the client's family and financial situations and any special circumstances that directly affect such status both short and long term.
 5. Identify any vocational goals or areas of interest the client may have. Determine if limited vocational testing would be appropriate.
 6. Identify any criminal background which could affect the State's vocational assessment services.
- 4.3.2.1 Specific for the Industrial Commission of Arizona, Special Fund
1. Submit a brief written evaluation report, containing recommendations, to the Special Fund.
- 4.3.3 Job Analysis - The Contractor shall perform an on-site Job Analysis by a Certified Rehabilitation Counselor with input from both the injured worker and the employer with emphasis on the areas specified herein.
1. Determine the specific job duties and essential functions required of the injured worker in this position.
 2. Determine if the work activities are compatible with the client's abilities. List any activities that the worker or employer identify as potential problem areas based on the worker's current capabilities.
 3. Submit the completed job analysis to the client's attending physician for review and comments when relevant.
 4. Submit a copy of the completed job analysis to the State Agency.



- 4.3.4 Labor Market Survey - The Contractor shall conduct a Labor Market Survey as follows:
1. Contact the employers to determine the status of job availability and the corresponding qualifications and requirements.
 2. Develop and submit a written report detailing facts, findings and conclusions of the Labor Market Survey to the State Agency.
- 4.3.5 Direct Job Placement – The Contractor shall determine the feasibility of Direct Job Placement through the following means:
1. Contact the client's previous employer to determine if there is a different position available for which the client may receive consideration based upon the minimum requirements for the position. If the position requirements are within the client's physical limitations, determine the method and time frame within which the client may return to work.
 2. If the above efforts fail, further effort must be made to locate additional employment opportunities with other potential employers.
 - 2.1 Direct Job Placement activities are implemented by instructing the injured worker on job seeking skills, resume preparation, obtaining job leads, and how to conduct interview.
 - 2.2 Job leads and interviews are provided by the Job Developer.
- 4.3.6 On-The-Job-Training – A written On-The-Job-Training Plan shall be developed as follows:
1. Contact employers that have indicated an interest in providing on-the-job-training in order to locate a training opportunity for the client.
 2. Obtain from the employer providing on-the-job-training a compliance form that lists the workers compensation carrier, policy number, policy effective dates, and an agreement to comply with all safety and health regulations.
 3. Submit a copy of the On-The-Job-Training Plan to the referring State Agency for approval.
- 4.3.7 Testing - Appropriate testing and/or evaluation may be recommended to the State Agency for review and approval. Based upon the information obtained from the client and the client's file, determine the following as it relates to Vocational Testing or Physical Capacities Evaluation:
1. When necessary, submit a report that identifies the specific vocational testing appropriate to the client and take the following actions:
 2. Schedule Testing and ensure that all approved tests are administered by a qualified technician and that both the interpretation and reporting of the test results are performed by personnel who are either a Certified Vocational Evaluator (C.V.E.) or have a Master's Degree in Rehabilitation with a major in Vocational Evaluation.
 3. Submit a report that contains the results of all testing performed. The Contractor shall pay for testing and shall include those charges on the monthly invoice submitted to the State Agency, unless otherwise authorized by State Agency.
 4. If it is determined that a Physical Capacities Evaluation is appropriate for the client, perform the following tasks:
 - 4.1. Submit a letter and questionnaire to, or if authorized, meet in person with the physician for completion of same.
 - 4.2. Submit a copy of the completed Physical Capacities Evaluation to the referring State Agency.



- 4.3. If there is a charge associated with a Physical Capacities Evaluation, the Contractor shall not schedule, unless otherwise notified by the State Agency to proceed.
- 4.3.8 Retraining – In the instances where on-the-job-training is either not available or determined not to be feasible, the availability and appropriateness of retraining must be explored.
 1. Information shall be gathered from schools, vocational training facilities, or other similar institutions with regard to the type of programs offered, entrance requirements, enrollment dates, and the tuition. A labor market survey must be performed to evaluate the suitability and availability of the proposed vocation in the applicable labor market(s). This information shall be reviewed and compared with the client's physical capabilities and other test results in order to determine which retraining is most appropriate.
 2. A Retraining Plan shall be developed for the client and submitted to the State Agency for consideration.
 - 2.1. The Plan shall be submitted and approved by the Industrial Commission's Special Fund for underwriting of all tuition, books, and other supplies. The Plan shall not exceed a length of two (2) years.
 - 2.2. The Contractor shall report to State Agency monthly with updated contact information from the educational institution and the injured worker with regards to performance.
- 4.3.9 Job Placement – At the conclusion of retraining, Job Placement services are to be provided to the client for a maximum of thirty (30) days, unless otherwise approved by the State Agency.
 1. Assist the client in preparing resumes, conducting mock interviews, and provide the client with a list of available job openings.
- 4.3.10 Follow-up Services – The Contractor shall provide Follow-Up Services in accordance with the following:
 1. Follow-up Services shall commence within thirty (30) days of Job Placement.
 2. Submit a Final Report to the State Agency that details the current status of the placement with emphasis on any job site modifications required or equipment purchases required for the client to remain on the job. If there are other anticipated on-the-job obstacles that may be faced in the near future, these too should be noted.

5.0 REPORTING REQUIREMENTS:

- 5.1 The Contractor shall submit the following Program Reports:
 - 5.1.1 Monthly Progress Reports – shall be submitted to the State Agency with the Monthly Invoice. The Monthly Progress Report shall include but is not limited to the following:
 1. Progress, findings, and activities for the month
 2. Goals for the next reporting period
 3. Monthly reports should not exceed one (1) typewritten page in length.
 - 5.1.2 Staffing Updates
 - 5.1.3 Annual Report – The Contractor shall submit an Annual Report to the State Agency to include the following information, at a minimum:
 1. The total number of referrals received that year;
 2. Total number of referrals acted upon;
 3. The status of each referral (i.e., closed, in counseling, in training, training completed, training completed/working, quit school, or other).



4. Annual Reports shall be submitted no later than February 28 of the following year.

5.2 The Contractor shall submit the following Financial Reports:

5.2.1 Monthly Invoice – shall be submitted to the State Agency with the Monthly Progress Report.

The Monthly Invoice shall include the following:

1. Service month
2. Contractor's name and address
3. FEI number
4. Contact person and phone number
5. Rate
6. Number of units of service provided
7. Total amount due
8. Signature and date of authorized staff member

5.2.2 Travel will be paid separately in accordance with State regulations/rates.

5.3 Vocational Assessment Services Timelines:

The contractor shall not exceed the timelines specified herein unless prior authorization for the specified deviation is properly obtained from the State agency. Approval of any such request is to be documented in a manner that is acceptable to the State agency. Failure to meet these requirements may result in a reduction of the fee payable to the contractor.

VOCATIONAL SERVICES	MAXIMUM HOURS
Receipt of referral and file review	1.0
Initial face-to-face evaluation of the injured worker	2.0
Agency/jobsite visit	1.0
Job Analysis This analysis is conducted on-site and results in a written report.	2.0
Initial Report (one-time fee)	1.0
Progress Report	.5
Vocational Counseling: Per Session Prior authorization must be obtained for any additional counseling sessions in excess of one month; purpose and goal of counseling must be documented in the monthly report.	.5
Vocational Evaluation/Testing Estimated number of hours must be provided when obtaining prior authorization; time for administration, testing, scoring, and reporting are to be included.	5.0
Labor Market Survey	3.0
Job Seeking Skills Training Resume preparation and interview techniques are included.	1.0
Job Search/Development/Placement	2.0
Travel Time Time attributed to these activities are to be billed at the hourly rate specified on the pricing schedule for travel time.	